

Federal Personnel Manual System**FPM Letter**

SUBJECT: Collection of Racial and Ethnic Identification
on Applicants

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Ch. 720

RETAIN UNTIL SUPERSEDED

Washington, D. C. 20415
January 15, 1980

Heads of Departments and Independent Establishments.

1. Since September 25, 1978, the Uniform Guidelines on Employee Selection Procedures have required Federal agencies to assess the impact of personnel selection decisions on applicants from various race and ethnic groups. To do this, a system is needed in which individual applicants identify themselves by race and ethnic group. A similar system is needed to implement fully the Federal Equal Opportunity Recruitment Program (FEORP). However, because of problems in securing clearance of forms for these purposes, OPM in its instructions to agencies implementing the Uniform Guidelines and FEORP (FPM Letters 300-25 and 720-2) indicated that agencies must postpone their collection of these data on applicants.

This FPM Letter removes the restriction on such data collection from applicants in open competitive examinations (i.e., examinations used for external hiring). For examinations for which competition or consideration is limited to Federal employees, however, agencies are still prohibited from collecting information on the race and ethnic background of applicants. OPM plans to consult with agencies and unions on removing the restriction on data collection for internal agency personnel decisions. We hope to issue the FPM Letter on this subject in January, 1980.

2. Agencies should use their own internally maintained minority group designator and handicap data from current employees' records as reported in the Central Personnel Data File (CPDF) to meet the statistical reporting requirements of the Uniform Guidelines and the FEORP as long as this assessment and use does not violate the provisions of FPM Chapter 713, Subchapter 3 (see also 29 CFR 1613.301) or FPM Letter 298-3, dated December 26, 1978. Under authority of 5 U.S.C. 7201, OPM plans to propose regulations at 5 U.S.C. 720, and implementing instructions in the new FPM Chapter 720, that will authorize agencies to use CPDF and agency minority group designator data to identify Federal employees in underrepresented groups for skills banks and referral lists. Pending completion of the formal rulemaking process, and issuance of instructions by OPM, agencies may not use the CPDF or their own internal agency files for the purpose of identifying Federal employees for these skills banks and referral lists.

When establishment of such skills banks and referral lists is authorized, they will need to be consistent with the Civil Service Reform Act and other provisions of law. They are intended to constitute applicant pools which facilitate consideration of members of underrepresented groups along with other qualified applicants. Referral files containing information on individuals from one group (e.g., women or Hispanics) may not be the sole applicant pool used unless there are no

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other applicants available. Summary statistics on the composition of an applicant pool may be provided; but certificates or similar lists of names, on which the race, ethnic background, sex or disability status of individual applicants is identified, may not be given to selecting officials.

3. Agencies are authorized to collect race and ethnic identification information from job applicants under conditions described in paragraph 1 above for the following purposes:
 - a. To determine adverse impact in the selection process as required by the Uniform Guidelines on Employee Selection Procedures;
 - b. To implement and evaluate agency Federal Equal Opportunity Recruitment Program activities (including establishment of minority recruitment files);
 - c. To implement and evaluate agency affirmative action programs;
 - d. To evaluate personnel/organizational measurement and selection methods;
 - e. To locate individuals for personnel research to improve selection or management practices.
4. OPM has defined a government-wide system of records in accordance with the Privacy Act to cover all Federal agencies. Any changes needed in this notice for agency uses should be relayed to OPM. (A copy of the relevant system notice is attached.)
5. The authorization to collect and use this information is based on 5 U.S.C. 7201, and the Uniform Guidelines on Employee Selection Procedures (1978) 43 FR 38297 et seq. (August 25, 1978).
6. These records are to be safeguarded at all times. Records are to be retained in a lockable metal filing cabinet in a secured room or in a computerized system accessible by confidential passwords issued only to specified personnel. Agencies must develop other safeguards as needed to protect the information from unwarranted invasions of individual applicants' privacy. These records are such that there is the potential for violation of Federal law in terms of the Privacy Act; such violations must not occur.
7. Generally records are to be retained for two years; or for the period of time needed to process applications, to prepare adverse impact and related reports; or for as long as an application is still under consideration for selection purposes. Where records are needed in the course of litigation they are maintained until the litigation is completed. Manual records must be shredded or burned, and magnetic tapes or disks must be erased when the appropriate retention period has elapsed.
8. The authorized routine uses of records maintained in the system, including categories of users and the purposes of such uses, are as stated below. [NOTE: CPDF and agency data files may be used to meet the statistical reporting requirements of the Uniform Guidelines and the FEORP. Other data are maintained only on those applicants who voluntarily provide it. Data of both types must be maintained under conditions such that the individual's self-identification

as to race, sex, ethnic origin, or disability status, does not accompany that individual's application when it is under consideration by a selecting official.]

- a. To disclose information to the Equal Employment Opportunity Commission (EEOC), in response to its request for use in the conduct of an examination of an agency's compliance with the Uniform Guidelines on Employee Selection Procedures (1978), or other requirements imposed on agencies under EEOC authorities promulgated in Reorganization Plan No. 1 of 1978 in connection with agency Equal Employment Opportunity Programs.
 - b. To disclose information to the Merit Systems Protection Board, including the Office of the Special Counsel, in response to its requests, in connection with: the processing of appeals, special studies relating to the civil service and other merit systems in the executive branch, investigations into allegations of prohibited personnel practices, and for other matters as authorized under sections 1205(a) (1) and (3) and 1206(b) of Title 5, U.S. Code.
 - c. By the Office of Personnel Management or employing Federal agency in the production of summary descriptive statistics and analytical studies in support of the function for which the records are collected and maintained, or for related work force studies. While published statistics and studies do not contain individual identifiers, in some instances the selection of elements of data included in the study may be structured in such a way as to make the data individually identifiable by inference.
 - d. To disclose information to a Federal agency in response to its request for use in its Federal Equal Opportunity Recruitment Program, to the extent that the information is relevant and necessary to the agency's efforts in identifying possible sources for minority recruitment.
 - e. To provide information to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.
 - f. To disclose information to another Federal agency or to a court when the Government is party to a judicial proceeding before the court.
 - g. To disclose, in response to a request for discovery or for appearance of a witness, information that is relevant to the subject matter involved in a pending judicial or administrative proceeding.
9. OPM has designed a form to use in collecting race, sex, ethnicity and disability status information. This form should be reproduced as needed by each agency. It must not be modified by adding any additional questions to it nor by changing any of the questions listed. However, questions may be deleted if an agency so desires. The form (OPM Form 1386) is attached. In our discussions with the Office of Management and Budget concerning the clearance of this form, we agreed to their request that no other forms be used for this data collection during the two years that this clearance has been given. OPM plans to make a standard form from this OPM form; we will begin designing this standard form in about one year based on our experience with the use of OPM Form 1386.

10. Form 1386 contains one item on disability status of applicants. Although the information on disability status is limited, it can be useful in indicating whether disabled applicants are being screened out of employment opportunities. If agencies wish to obtain additional information from individuals indicating that they have a handicap, agencies must obtain separate clearance from OMB for the additional data collection effort. [It should be noted that this reporting system is not to be confused with the use of Standard Form 256, "Self-Identification of Medical Disability," which is used for reporting specific disability status of Federal employees to OPM's Central Personnel Data File. These data for Federal employees (rather than applicants) are covered by OPM's Privacy Act Systems Notice OPM/GOVT 1. Use of data from Standard Form 256 is primarily for the purpose of evaluating affirmative action programs for Federal employees but may be used for statistical reporting on Federal employees under the FEORP as indicated in paragraph 2 above.]
11. The form also requests applicants to report their year of birth. Any use of year of birth data for research and reporting purposes should be approached with caution, since they are easy to misinterpret. Any studies using this variable should be done by trained social scientists who are familiar with the extensive literature on this subject.
12. Agencies are authorized to use Form 1386 for both assembled and unassembled competitive examinations. At this time, OPM does not know how best to handle the problem of low response rates in unassembled examinations where applicants are asked to mail back the form. OPM plans several research studies to improve these response rates. For the present, agencies are advised to use caution in interpreting data where there is a large nonresponse rate. Agency staff with suggestions on how to deal with this problem are urged to contact OPM (see 15a, below).
13. It is requested that each agency provide the Director, Personnel Research and Development Center, with the name, institutional title, address, and telephone number of a contact person in the agency to whom we can routinely send, and from whom collect, ideas and information on the collection and use of this information.
14. Agencies are NOT authorized to change current minority group designation category definitions or systems for onboard Federal employees as currently required by FPM Chapter 713, Subchapter 3. OPM is completing analysis of a Pilot Test for Race/Ethnicity Data Collection. The results of this analysis will determine the content, collection methodology, and timetable for Federal agencies to comply with the requirements of Commerce Directive 15, "Race and Ethnic Standards for Federal Statistics and Administrative Reporting." On behalf of all Federal agencies, OPM will request from the Department of Commerce's Office of Federal Statistical Policy and Standards a necessary extension of the January 1, 1980 effective date for implementing Directive 15 as it applies to the onboard Federal work force. Any changes subsequently made by OPM in race and ethnic standards for employees will be consistent with the standards established by this letter for applicants.
15. Agencies should use their internal employee minority group designator and handicap code records, established under 5 CFR 713.301/302 (now 29 CFR 1613.301), and FPM Chapter 713, FPM Letters 290-10 and 298-3, for statistical analysis and reports for both the Uniform Guidelines and the FEORP on Federal employees.

Such data use must comply with the statistical reporting provisions of FPM Chapter 713, Subchapter 3. The current Chapter 713 minority group designations, however, do not match the race and ethnic category definitions required by the Uniform Guidelines and the FEORP which are from Directive 15. To aid agencies in linking the two sets of data, OPM recommends the following linkage be used.

<u>FPM Chapter 713</u>	<u>Directive 15</u>	<u>Linkage</u>
	<u>Race</u>	
* a. Employees in Guam or Hawaii	(1) American Indian or Alaskan Native	e = [(2) minus those who also marked Hispanic Ethnicity (A)]
b. Negro	(2) Asian or Pacific Islander	
c. Spanish-surnamed	(3) Black	b = [(3) minus those who also marked Hispanic Ethnicity (A)]
d. American Indian	(4) White	
e. Oriental	(5) Other**	c = [(A)]
f. Aleut employment in Alaska		d, f
g. Eskimo employment in Alaska	<u>Ethnicity</u>	and g = [(1) minus those who also marked Hispanic Ethnicity (A)]
h. None of these	(A) Hispanic	
i. Non-Hispanic in Puerto Rico	(B) Non-Hispanic	h and i = [(4) and (5) minus those who marked Hispanic Ethnicity (A)]

The Uniform Guidelines require that the White racial group be reported without the Hispanic subgroup being included. The FEORP requires that both the Black and White racial groups be reported without the Hispanic subgroup being included. This is consistent with the Directive 15 standard when race/ethnic data are collected using a separate format. Further, the actual data definitions in FPM Chapter 713 do not match the data definitions of these racial groups in the Uniform Guidelines and the FEORP. For example, Indians from the Subcontinent of Asia are listed as non-minority in the FPM Chapter 713 and as Asians in the Uniform Guidelines and the FEORP. These discrepancies will result in some reporting and linkage errors which are tolerable to reduce agency data collection burden until the applicant and onboard race/ethnic categories are made consistent.


16. We have not defined "applicant," "candidate," "applicant pool" and similar terms here. These terms are defined in the Uniform Guidelines and the FEORP regulations and instructions. More refined definitions are up to the individual agency to make, based on its own operating circumstances. While this is an issue that we have been requested to address, OPM staff thinks that there are many variations involved in the Federal employment process so that the attempt to rigidly define these terms at this time would be a disservice to Federal agencies.

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- * These employees are identified in the CPDF only through a geographic location code. No race, sex, or ethnic information is available for them. They are included in the "non-designated" category and cannot be linked with Directive 15 categories.
 - ** Where "other" can be grouped in one of the categories (1) through (4), the agency may wish to classify the persons as such.

17. OPM will assess the adverse impact of the examinations it administers including those situations where an agency administers an examination for OPM such as for shortage categories.
18. This is a new area of recordkeeping for Federal agencies; therefore, further information or assistance may be needed, than is provided in this letter. Following is a list of key people who can help. (FTS numbers listed are the same as non-FTS numbers; the area code is 202.)
 - a. Race, ethnic, sex, and disability data collection on applicants for Federal employment: Dr. Lois Northrop, Project Director, Personnel Research and Development Center, FTS 632-7721.
 - b. Uniform Guidelines on Employee Selection Procedures information and assistance: Dr. Kenneth A. Millard, Uniform Guidelines Coordinator, Personnel Research and Development Center, FTS 632-6238.
 - c. Privacy Act matters and race, handicap, and ethnic data collection for onboard employees of the Federal government (FPM Chapter 713, Subchapter 3 and FPM Letters 290-10 and 298-3) information and assistance: Dr. Philip A. D. Schneider, Deputy Assistant Director for Work Force Information, FTS 632-6808.
 - d. Federal Equal Opportunity Recruitment Program information and assistance: Dr. Ruth Cullen, Demographer and Statistician, Office of Affirmative Employment Programs, FTS 632-6258; A. Diane Graham, Director, Office of Affirmative Employment Programs, FTS 632-4420.
 - e. Staffing Problems Information and Assistance: Donald Holum, Chief, Examination Planning Section, FTS 632-6251.
19. OPM is also preparing separate guidance publications on adverse impact analyses. These will be available from Dr. Northrop.

Attachments (2)

- (1) Systems Notice
- (2) OPM Form 1386


Jule M. Sugarman
Deputy Director

OPM/GOVT-6

System name: Personnel Research and Test Validation Records

System location: Personnel Research and Development Center, Office of Personnel Management, 1900 E Street, N.W., Washington, D. C. 20415, OPM regional offices (see list of regional office addresses in OPM's Federal Register notice of October 26, 1979, 44 FR 61715), and agency personnel offices (or other designated offices) conducting such programs.

Categories of individuals covered by the system: Current and former Federal employees; applicants for Federal employment; current and former State and local government employees; applicants for State and local government employment.

Categories of records in the system: These records include information on education and employment history, test scores, responses to test items and questionnaires, interview data, and ratings of supervisors regarding the individuals to whom the records pertain. Additional information (race, ethnicity, disability status, and background) is collected from applicants for certain examinations.

Authority for maintenance of the system: Title 5, U.S.C. Sections 1303 and 3301.

Purpose: These records are collected, maintained, and used by the Office or agencies for the construction, analysis, and validation of written tests, and for research on and evaluation of personnel/organizational measurement and selection methods. Such research includes studies extending over a period of time (longitudinal studies). Race and ethnicity data are used to evaluate the selection process of these examinations as required by the Uniform Guidelines on Employee Selection Procedures. Use of these race and ethnicity data is limited to evaluation projects conducted by the Office or agencies.

The records also may be used by the Office or employing agencies to locate individuals for personnel research. Data are collected on a project-by-project basis under conditions assuring the confidentiality of the information. No personnel actions or selections are made using these research records.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: These records and information in these records may be used:

a. By the Office or employing agency maintaining the records to locate individuals for personnel research or survey response and in the production of summary descriptive statistics and analytical studies in support of the function for which the records are collected and maintained, or for related work force studies. While published statistics and studies do not contain individual identifiers, in some instances the selection of elements of data included in the study may be structured in such a way as to make the data individually identifiable by inference.

b. To furnish personnel records and information to the Equal Employment Opportunity Commission for use in determining the existence of adverse impact in the total selection program, in reviewing allegations of discrimination, or in assessing the status of compliance with Federal law.

c. To furnish information to the Merit Systems Protection Board including the Office of the Special Counsel in connection with actions by offices relating to allegations of discriminatory practices on the part of an agency or one of its employees.

d. To disclose, in response to a request for discovery or for appearance of a witness, information that is relevant to the subject matter involved in a pending judicial or administrative proceeding.

e. To disclose information to another Federal agency or to a court when the Government is party to a judicial proceeding before the court.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: These records are maintained in file folders and on punched cards, disks, and magnetic tape.

Retrievability: Records are generally maintained by project. Personal information can be retrieved by name or personal identifier only for certain research projects such as those involving longitudinal studies.

Safeguards: Records are kept in locked files in a locked room with access limited to authorized staff. Access to tape, disk, and other files used in data processing will be only by authorized staff.

Retention and disposal: Records are retained for two years after completion of the project, unless needed in the course of litigation or other administrative actions involving a research or test validation survey. Manual records are destroyed by shredding or burning and magnetic tapes or disks are erased.

System manager(s) and address: Director, Personnel Research and Development Center, Office of Personnel Management, 1900 E Street, N.W., Washington, D.C. 20415.

Notification procedure: Individuals wishing to inquire whether this system of records contains information about them should contact the system manager above, the OPM regional office servicing the State where they are employed (see list of OPM regional office addresses as published in the Federal Register, 44 FR 61715, October 26, 1979), or their employing agency's personnel office. Individuals must furnish the following information for their records to be located and identified:

- a. Full name.
- b. Date of birth.
- c. Title, time, and/or place of test validation research study in which individual participated.
- d. Social Security Number.
- e. Signature.

Record access procedures: Specific materials in this system have been exempted from Privacy Act provisions at 5 U.S.C. 552a(d), regarding access to records. The section of this notice titled Systems exempted from certain provisions of the Act which appears below, indicates the kinds of materials exempted and the reasons for exempting them from access. Individuals wishing to request access to non-exempt records should contact the system manager indicated above, the OPM regional office, or their agency personnel or other designated office, as appropriate. Individuals must furnish the following information for their records to be located and identified:

- a. Full name.
- b. Date of birth.
- c. Title, time, and/or place of test validation research study in which individual participated.
- d. Social Security Number.
- e. Signature.

Individuals requesting access must also comply with the Office's Privacy Act regulations regarding access to records and verification of identity (5 CFR 297.203 and 297.201).

Contesting record procedures: Specific materials in this system have been exempted from Privacy Act provisions at 5 U.S.C. 552a(d) regarding amendment of records. The section of this notice titled Systems exempted from certain provisions of the Act, which appears below, indicates the kinds of materials exempted and the reasons for exempting them from amendment. Individuals wishing to request amendment of any non-exempt records should contact the System Manager indicated above, the OPM regional office, or their agency personnel or other designated office, as appropriate. Individuals must furnish the following information for their records to be located and identified:

- a. Full name.
- b. Date of birth.
- c. Title, time, and/or place of test validation research study in which individual participated.
- d. Social Security Number.
- e. Signature.

Individuals requesting amendment must also comply with the Office's Privacy Act regulations regarding amendment of records and verification of identity (5 CFR 297.208 and 297.201).

Record source categories: Individual Federal, State, or local employees or applicants, supervisors, assessment center assessors, agency or Office personnel files and records (e.g., race, sex, ethnicity, and disability status data from OPM/GOVT-1 and OPM/GOVT-7 systems of records).

Systems exempted from certain provisions of the act: This system contains testing and examination materials that are used solely to determine individual qualifications for appointment or promotion in the Federal service. The Privacy Act, at 5 U.S.C. 552a(k)(6), permits an agency to exempt all such testing and examination material and information from certain provisions of the Act, when the disclosure of the material would compromise the objectivity or fairness of the testing or examination process. The Office of Personnel Management has claimed exemptions from the requirements of 5 U.S.C. 552a(d), which relate to access to and amendment of records. The specific materials exempted include the following:

- a. Answer keys.
- b. Ratings given for the purpose of validating examinations.
- c. Rating schedules, including crediting plans and scoring formulas for other selection procedures.
- d. Rating sheets.
- e. Test booklets, including the written instructions for their preparation.
- f. Test item files.
- g. Transmutation tables.
- h. Test answer sheets.

OPM/GOVT-7

System name: Applicant Race, Sex, Ethnicity and Disability status Records.

System location: Records in this system may be located in the following offices:

1. Personnel Research and Development Center (PRDC), Office of Personnel Management, 1900 E Street, N.W., Washington, D.C. 20415;
2. Office of Affirmative Employment Programs, Office of Personnel Management, 1900 E Street, N.W., Washington, D.C. 20415;
3. OPM Regional Offices (list of OPM regional office addresses appears in the October 26, 1979 Federal Register, 44 FR 61715) and any register-holding area offices under the jurisdiction of a regional office; and
4. Agency Personnel, Equal Employment Opportunity, or Federal Equal Opportunity Recruitment offices or other designated offices.

Categories of individuals covered by the system: Current and former Federal employees and individuals who have applied for Federal employment, including:

1. Applicants for examinations administered either by OPM or by agencies;
2. Applicants on registers maintained by OPM and subject to its regulations;
3. Applicants for positions in agencies having direct hire authority and using their own examining procedures in compliance with OPM regulations;
4. Applicants whose records are retained in an agency Equal Opportunity Recruitment file (including any file an agency maintains on current employees from under-represented groups); and
5. Applicants (including current and former Federal employees) who apply for vacancies announced under an agency's merit promotion plan.

Categories of records in the system: These records include the individual's name, Social Security Number, date of birth, statement of major field of study, type of current or former Federal employment status (e.g., career or temporary), applications showing work and education experience, and race, sex, ethnicity and disability status data.

NOTE

The race, ethnicity, and disability status information in this system differs from that which is maintained in the OPM/GOVT-1, General Personnel Records system. In this system, the information is obtained by two alternative methods: (1) use of OPM Form 1386, where individuals, who may not currently be Federal employees, self-identify themselves as to race and ethnicity and indicate whether they have a disability; (2) for applicants who are current Federal employees, the data may be obtained from the OPM/GOVT-1 system, where race and ethnicity is recorded by visual observation while disability status is obtained by use of Standard Form 256 which allows for a description by self-identification of the handicap. Further, race and ethnicity is defined on OPM Form 1386 in accordance with the Department of Commerce's Directive 15, while the definitions of race and ethnicity used for the OPM/GOVT-1 system are as shown in FPM Chapter 713, subchapter 3.

Authority for maintenance of the system: 5 U.S.C. 7201, and Sections 4A, 4B, 15A(1) and (2), 15B(11), and 15D(11), Uniform Guidelines on Employee Selection Procedures (1978), 43 FR 38297 et seq. (August 25, 1978).

Purpose: These records are used by OPM and agencies to:

1. Evaluate personnel/organizational measurement and selection methods;
2. Implement and evaluate agency affirmative action programs;
3. Implement and evaluate agency Federal Equal Opportunity Recruitment Programs (including establishment of minority recruitment files);
4. Determine adverse impact in the selection process as required by the Uniform Guidelines cited in the Authority section above. (See also "Questions and Answers," on those guidelines published in the Federal Register, 44 FR 11996, March 2, 1979); and
5. Locate individuals for personnel research.

NOTE

These data are maintained under conditions that ensure that the individual's identification as to race, sex, ethnic origin, or disability status, does not accompany that individual's application or is otherwise made known when the individual is under consideration by a selecting official.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

- a. To disclose information to the Equal Employment Opportunity Commission (EEOC), in response to its request for use in the conduct of an examination of an agency's compliance with implementing minority recruitment programs as required by 5 U.S.C. 7201 and the Uniform Guidelines on Employee Selection Procedures (1978), or other requirement imposed on agencies under EEOC authorities promulgated in Reorganization Plan No. 1 of 1978, in connection with agency Equal Employment Opportunity programs.
- b. To disclose information to the Merit Systems Protection Board, including the Office of the Special Counsel, in response to its request in connection with the processing of appeals, special studies relating to the civil service and other merit systems in the executive branch, investigations into allegations of prohibited personnel practices, and for other matters as authorized under sections 1205(a)(1) and (3) and 1206(b) of title 5, U.S. Code.
- c. By the Office or employing agency maintaining the records to locate individuals for personnel research or survey response and in the production of summary descriptive statistics and analytical studies in support of the function for which the records are collected and maintained, or for related work force studies. While published statistics and studies do not contain individual identifiers, in some instances the selection of elements of data included in the study may be structured in such a way as to make the data individually identifiable by inference.
- d. To disclose information to a Federal agency in response to its request for use in its Federal Equal Opportunity Recruitment Program, to the extent that the information is relevant and necessary to the agency's efforts in identifying possible sources for minority recruitment.

e. To provide information to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.

f. To disclose information to another Federal agency or to a court when the Government is party to a judicial proceeding before the court.

g. To disclose, in response to a request for discovery or for appearance of a witness, information that is relevant to the subject matter involved in a pending judicial or administrative proceeding.

Policies and practices for storing, retrieving, accessing, retaining and disposing of records in the system.

Storage: These records are maintained in file folders, on magnetic tape, and on disks.

Retrievability: Records are retrieved by the name and Social Security Number of the individuals on whom they are maintained.

Safeguards: Records are retained in lockable metal filing cabinets in a secured room or in a computerized system accessible by confidential passwords issued only to specific personnel.

Retention and disposal: Records are generally retained for two years, except when needed to process applications or to prepare adverse impact and related reports, or for as long as an application is still under consideration for selection purposes. Where records are needed in the course of litigation they are to be maintained until the litigation is completed. Manual records are shredded or burned and magnetic tapes or disks are erased.

NOTE

Where an agency retains an automated version of any of the records in this system, maintenance of that record beyond the above retention schedules is permitted for historical or statistical analysis, but only so long as the record is not used in a determination directly affecting the individual about whom the record pertains after the prescribed destruction date.

System manager(s) and address: Director, Personnel Research and Development Center (PRDC), Office of Personnel Management, 1900 E Street, N.W. Washington, D.C. 20415.

Notification procedure: Those individuals wishing to inquire if this system contains information about them should contact the system manager listed above, OPM regional office (see list of OPM regional office addresses as published in the Federal Register of October 26, 1979, 44 FR 61715) covering the state wherein the application for Federal employment was directly filed with an OPM office, or the Personnel, Equal Employment Opportunity, or Federal Equal Employment Opportunity Recruitment office or other designated office at the agency where they filed an application or where they are employed. Individuals must furnish the following information for their records to be located and identified:

- a. Name.
- b. Social Security Number.
- c. Title of examination, position, or vacancy announcement for which they filed.
- d. The OPM or agency office where they are employed or submitted the information.
- e. Signature.

Records access procedure: Individuals wishing to request access to records about themselves should contact the same offices shown in the Notification Procedure section above. Individuals must furnish the following information for their records to be located and identified:

- a. Name.
- b. Social Security Number.
- c. Title of examination, position, or vacancy announcement for which they filed.
- d. The OPM or agency office where they are employed or submitted the information.
- e. Signature.

An individual requesting access must also follow the Office's Privacy Act regulations regarding access to records and verification of identity (5 CFR 297.203 and 1297.201).

Contesting record procedure: Individuals wishing to request amendment of their records should contact the same offices shown in the Notification procedure section above. Individuals must furnish the following information for their records to be located and identified:

- a. Name.
- b. Social Security Number.
- c. Title of examination position, or vacancy announcement for which they filed.
- d. The OPM agency office where they are employed or submitted the information.
- e. Signature.

An individual requesting amendment must also follow the Office's Privacy Act regulations regarding amendment of records and verification of identity (5 CFR 297.208 and 297.201).

Record source categories: Information is provided by the individual to whom the record pertains, on such OPM forms as 1377, 1377A, or 1386, or is obtained from other agency or Office records (e.g., race, sex, ethnicity, and disability status data may be obtained from the OPM/GOVT-1 General Personnel Records system).

6325-01

United States
OFFICE OF PERSONNEL MANAGEMENT

Form Approved
OMB No. 50-RO-616

BACKGROUND SURVEY QUESTIONNAIRE 79-2

GENERAL INSTRUCTIONS

The information from this survey is used to help insure that agency personnel practices meet the requirements of Federal law. Your responses are voluntary. Please answer each of the questions to the best of your ability. Please print entries in pencil or pen. Use only capital letters. Read each item thoroughly before completing the appropriate code number in each box.

Name (Last, First, MI)

Position for which you are applying

Date (Month, Day, Year)

PRIVACY ACT INFORMATION

GENERAL

This information is provided pursuant to Public Law 93-579 (Privacy Act of 1974), December 31, 1974, for individuals completing Federal records and forms that solicit personal information.

AUTHORITY

Sections 1302, 3301, 3304, and 7201 of Title 5 of the U.S. Code

PURPOSE AND ROUTINE USES

The information from this survey is used for research and for a Federal equal opportunity recruitment program to help insure that agency personnel practices meet the requirements of Federal law. Address questions concerning this form and its uses to the Director, PRDC, Office of Personnel Management, Washington, D. C. 20415.

EFFECTS OF NONDISCLOSURE

Providing this information is voluntary. No individual personnel selections are made based on this information.

INFORMATION REGARDING DISCLOSURE OF YOUR SOCIAL SECURITY NUMBER UNDER PUBLIC LAW 93-579, SECTION 7 (b)

Solicitation of the Social Security Number (SSN) by the Office of Personnel Management is authorized under provisions of Executive Order 9397, dated November 22, 1943. It is used to relate this form with other records that you file with Federal agencies and the Office of Personnel Management.

1. Social Security Number

(CC 1-9)

2. Year of Birth

(CC 10-11)

3. Do you have any Physical Disability?

☐ 1 - Yes
☐ 2 - No (CC 12)

4. How did you learn about the particular position or exam for which you are applying?

(You may select up to three choices.)

01 — Private Information Service

02 — Magazine

03 — Newspaper

04 — Radio

05 — TV

06 — Poster

07 — Private Employment Office

08 — State Employment Office (Unemployment Office)

09 — Agency Personnel Dept. (Bulletin Board or Other Announcement)

10 — Agency or other Federal Government Recruitment at School or College

11 — Federal, State or Local Job Information Center

12 — Religious organization

13 — School or College Counselor or other official

14 — Friend or Relative Working for Agency

15 — Friend or Relative not Working for Agency

16 — Other (Specify) _____

(CC 13-14)

(CC 15-16)

(CC 17-18)

5. Please categorize yourself in terms of the race, sex, and ethnic categories below. First read definitions of subcategories.

DEFINITIONS

The racial and ethnic categories for Federal statistics and administrative reporting are defined as follows:

ETHNICITY:

Hispanic. A person of Mexican, Puerto Rican, Cuban, Central or South American, or other Spanish culture or origin, regardless of race.

RACE:

American Indian or Alaskan Native. A person having origins in any of the original peoples of North America, and who maintains cultural identification through tribal affiliation or community recognition.

Asian or Pacific Islander. A person having origins in any of the original peoples of the Far East, Southeast Asia, the Indian subcontinent, or the Pacific Islands. This area includes, for example, China, India, Japan, Korea, the Philippine Islands, and Samoa.

Black. A person having origins in any of the black racial groups of Africa.

White. A person having origins in any of the original peoples of Europe, North Africa, or the Middle East.

A. Race

1—American Indian or Alaskan native

2—Asian or Pacific Islander

3—Black 4—White 5—Other _____ (Specify)

(CC 19)

B. Sex

1 - Male

2 - Female

(CC 20)

C. Ethnicity

1 - Hispanic Origin

2 - Not of Hispanic Origin

(CC 21)

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